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**Do YOU have a topic you would like discussed on the next call? Let us know!  
Contact your OSJ, or reply to this E-mail**

## Compliance/Administration



### Compliance Year in Review

Best practices for both hard copy and electronic correspondence

Based on deficiencies discovered over the course of supervision during the past year, we have developed several best practices that can help you avoid compliance complications!

Join for a comprehensive summary of some of the more common correspondence violations we encounter, and for suggestions for how to prevent them, including:

- set a recurring reminder to submit correspondence for the first and second half of the month
- submit even if only attesting to no correspondence
- include AdView tracking numbers when applicable
- avoid tax discussion unless acting in the capacity of a tax professional as approved under your OBA
- create a system of identifiable and centrally located files for ease of access and retention requirements
- not sure if it needs to be submitted to hard copy correspondence? check the compliance manual [here!](#)
- encrypt all PII
- avoid usage of profanity or personal E-mail content
- always obtain AdView approval if sending material (even the same body of text) to more than one individual
- **add proper disclosures across all electronic devices**
- and more!

## FinTech

### Mobile Assistant, Inc.

Jason Nachreiner | National Sales Director



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Watch the recording for not just a presentation, but also for testimonials from fellow financial professionals in our branch

Click [here](#) for a look at a sample introductory E-mail

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